



16711 U.S. PTO

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Attorney Docket **P3121R1C1**  
PATENT

03945 U.S. PTO  
10/700992



EV 351932707: Express Mail Number

November 3, 2001: Date of Deposit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION  
Assistant Commissioner of Patents  
Washington, D.C. 20231

**NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)**

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

**Audrey Goddard  
Paul J. Godowski  
Austin L. Gurney  
Colin K. Watanabe  
William I. Wood**

Title: **NOVEL POLYPEPTIDES HAVING SEQUENCE SIMILARITY TO CYTOKINE RECEPTORS  
AND NUCLEIC ACIDS ENCODING THE SAME**

**1. Type of Application**

- ☐ This application is for an original, non-provisional application.
- ☐ This is a non-provisional application claiming priority to provisional application no. \_\_, filed \_\_\_\_, the entire disclosure of which is hereby incorporated by reference.
- ☒ This is a ☐ continuation-in-part ☒ continuation ☐ divisional application claiming priority under 35 U.S.C. §120 of U.S. Application Serial No. 09/964,994 filed September 26, 2001, which is a continuation-in-part of, and claims priority under 35 U.S.C. §120 of U.S. Application Serial No. 09/941,992 filed August 28, 2001, which is a continuation of, and claims priority under 35 U.S.C. §119 (a)-(d) to PCT Application No. PCT/US00/08439 filed March 30, 2000, and where U.S. Application Serial No. 09/941,992 is also a continuation-in-part of, and claims priority under 35 U.S.C. §119 (a)-(d) to PCT Application No. PCT/US01/06520 filed February 28, 2001, which claims priority under 35 U.S.C. §119 (e) to U.S. Provisional Application Serial No. 60/191,105 filed March 21, 2000, the entire disclosures of which are hereby expressly incorporated by reference.

**2. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b)  
(Non-provisional)**

81 pages of specification  
5 pages of claims  
1 page(s) of abstract  
4 sheet(s) of drawings  
[X] formal ☐ informal

**3. Declaration r Oath**

☐ *(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)*  
An unassigned declaration of the inventors is enclosed. A signed declaration of the inventors will follow.

☒ *(for Cont./Div. where inventorship is the same or inventor(s) being deleted)*  
A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

☐ *(for Cont./Div. where inventor(s) being deleted)*  
A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

**4. Assignment**

☐ *(for new and CIP applications)*  
An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with attached Recordation Form Cover Sheet ☒ will follow.

☒ *(for cont./div.)*  
The prior application is assigned of record to Genentech, Inc.

**5. Amendments (for continuation and divisional applications)**

☐ Cancel in this application original claims \_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

☒ A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

**6. Fee Calculation (37 CFR 1.16)**

The fee has been calculated as follows:

THIS HAS BEEN CALCULATED AS FOLLOWS:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$770.00
Total Claims	52	- 20 =	32	X \$18.00	\$576.00
Independent Claims	22	- 3 =	19	X \$86.00	\$1,634.00
<u>X</u> Multiple dependent claim(s), if any				+ \$290.00	\$290.00
Filing Fee Calculation					\$3,270.00

**7. Method of Payment of Fees**

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$3,270.00. **A duplicate copy of this transmittal is enclosed.**

**8. Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

**9. Additional Papers Enclosed**

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
- ☒ Submission of "Sequence Listing", certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.
- ☐ A new Power of Attorney or authorization of agent.
- ☐ Other:

**10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)**

*[This item must be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

- \_\_\_\_\_ A petition, fee and/or response has been filed to extend the term in the pending prior application until
- \_\_\_\_\_ A copy of the petition for extension of time in the **prior** application is attached.

**11. Correspondence Address:**

X Address all future communications to:

Attn: Elizabeth M. Barnes

Respectfully submitted,  
GENENTECH, INC.

Date: November 3, 2003

By: 

Elizabeth M. Barnes

Reg. No. 65,059

Telephone No. (650) 225-4563

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PATENT TRADEMARK OFFICE